



Oregon Department of Justice

Oregon Child Support Program

Supporting Parents to Support Children

Self-Assessment Report



South Sister from Sparks Lake in Deschutes County, Oregon

Federal Fiscal Year 2018

Prepared by the Performance, Budget & Statistics Team

March 2019

Table of Contents

| | |
|--|----|
| Table of Tables and Figures..... | 2 |
| I. Executive Summary..... | 3 |
| A. Introduction | 3 |
| Background | 3 |
| B. Self-Assessment Results..... | 4 |
| C. Summary | 4 |
| II. Methodology..... | 5 |
| A. Introduction to Methodology..... | 5 |
| B. State Self-Assessment Coordination..... | 6 |
| Program Compliance Criteria..... | 6 |
| Case Review – General Rules | 6 |
| Concur Case Review Process..... | 7 |
| C. Universe Definition and Sampling Procedures | 7 |
| D. Summary of Methodology..... | 8 |
| III. Self-Assessment Results..... | 9 |
| A. Introduction to Self-Assessment Results..... | 9 |
| B. Self-Assessment Results..... | 9 |
| C. Discussion of Self-Assessment Results..... | 10 |
| D. Summary of Self-Assessment Results..... | 12 |
| IV. Conclusion..... | 13 |
| V. The Paperwork Reduction Act of 1995 | 13 |
| VI. Attachments | 14 |
| A. Appendix 1 - Tables and Figures | 14 |

Table of Tables and Figures

| | |
|---|----|
| Table 1 — Program Information..... | 3 |
| Table 2 — Self-Assessment Results | 4 |
| Figure 1 — Confidence Level Statistical Equation | 5 |
| Figure 2 — Confidence Level Chart | 5 |
| Table 3 — 2018 Self-Assessment Sample Details..... | 8 |
| Table 4 — Self-Assessment Results | 9 |
| Table 5 — Self-Assessment Errors by Category | 10 |
| Table 6 — Self-Assessment Results over Five Years..... | 12 |
| Figure 3 — Enforcement Efficiency Rate: 2013-2018 | 12 |

I. Executive Summary

A. Introduction

The standards and criteria for State self-assessment review and report processes are established in the Code of Federal Regulations, Title 45, Chapter III, Part 308 (45 CFR 308). It specifies that states must conduct an annual review of eight required program criteria. Oregon submits its self-assessment results to the Office of Child Support Enforcement (OCSE) Region X Office and to the OCSE Commissioner through the automated Self-Assessment Reporting System no later than six months after the review period.

This is Oregon’s twentieth annual self-assessment. It covers the 12-month period from October 1, 2017, through September 30, 2018. The assessment reviewed the following eight categories:

- Case Closure
- Establishment of Paternity and Support Orders
- Enforcement of Orders
- Disbursement of Collections
- Medical Support Enforcement
- Review and Adjustment (Modification)
- Intergovernmental Services
- Expedited Process

Background

In 1975, the state legislature established the Oregon Child Support Program as required by Title IV-D of the Social Security Act. The Oregon Department of Justice has administered the Program since 2003. The Department’s Division of Child Support (DCS) maintains offices around the state and works with the Civil Recovery Section on certain judicial actions. The Department also contracts with 22 county District Attorney (DA) offices to assist in providing child support services. While active in state courts, the Program primarily uses administrative processes to establish, modify, and enforce child support orders. The following tables are synopses of Oregon’s child support caseload and staffing as of September 30, 2018. The DCS staff assigned exclusively to work on Oregon’s system project are listed separately.

Table 1 — Program Information

| Caseload Size | | Types of Cases | | Program Staffing | |
|-------------------------|----------------|-----------------------|--------|-------------------------|-----|
| DCS Caseload | 124,247 | Current Assistance | 17,280 | DCS Staff | 571 |
| DA Caseload | 35,453 | Former Assistance | 92,971 | DA Staff | 127 |
| Program Caseload | 159,700 | Never Assistance | 49,449 | System Project Staff | 22 |

B. Self-Assessment Results

Oregon’s efficiency rates and corresponding federal benchmarks are displayed below in Table 2 - Self-Assessment Results.

Table 2 — Self-Assessment Results

| Criterion | Cases Where Required Activity Occurred or Should Have Occurred | Cases Where Required Activity Occurred within Timeframe | Efficiency Rate (Confidence Level of Sample) | Federal Minimum Standard | Previous Year's Efficiency Rates |
|----------------------------|--|---|--|--------------------------|----------------------------------|
| Case Closure | 307 | 303 | 98.70% | 90% | 94.62% |
| Establishment | 331 | 292 | 88.22% | 75% | 87.00% |
| Enforcement | 275 | 273 | 99.27% | 75% | 93.86% |
| Disbursement | 1,983,943 | 1,937,223 | 97.65% | 75% | 97.87% |
| Medical | 286 | 271 | 94.76% | 75% | 96.20% |
| Review & Adjustment | 271 | 257 | 94.83% | 75% | 96.19% |
| Intergovernmental | 331 | 300 | 90.63% | 75% | 86.62% |
| Expedited Process 6-month | 293 | 279 | 95.22% | 75% | 97.04% |
| Expedited Process 12-month | 293 | 290 | 98.98% | 90% | 100.00% |
| TOTAL: | 1,986,330 | | | | |

C. Summary

Oregon surpassed the required federal compliance benchmarks in all program areas for the self-assessment review period. Therefore, a corrective action plan is not necessary.

II. Methodology

A. Introduction to Methodology

Oregon reviewed a focused sample group of child support cases in seven categories to determine compliance with the corresponding citations in 45 CFR 302 and 303 and the Social Security Act (Section 454B(c)(1)). For Disbursement of Collections, all payments received were systematically reviewed to determine compliance.

To conduct a statistically valid assessment and select a sample that would achieve a 90% confidence level, Oregon utilized focused samples. Oregon used the statistical equation in Figure 1 – Confidence Level Statistical Equation to achieve the 90% confidence level requirement.

$$n = \frac{(z \cdot \hat{p}/2)^2 \cdot X \cdot p(q)}{E^2}$$

Figure 1 — Confidence Level Statistical Equation

The formula for Oregon’s statistical equation to achieve its confidence level states:

- n = the sample size
- z = the z score
- \hat{p} = 1 – confidence interval
- p = probability
- q = 1 – p
- E = tolerable error rate

Oregon’s desired error rate is 5% or less. A presumed probability of 50-50 was used (50% chance the desired outcome would occur and 50% chance the desired outcome would not occur). Utilizing the formula above and assuming a 90% confidence level, a table was created to indicate the number of cases required for review per identified population. A comparative table for a 95% confidence level was also used to determine the number of cases to sample to achieve the 90% confidence level as shown above in Figure 2 – Confidence Level Charts.

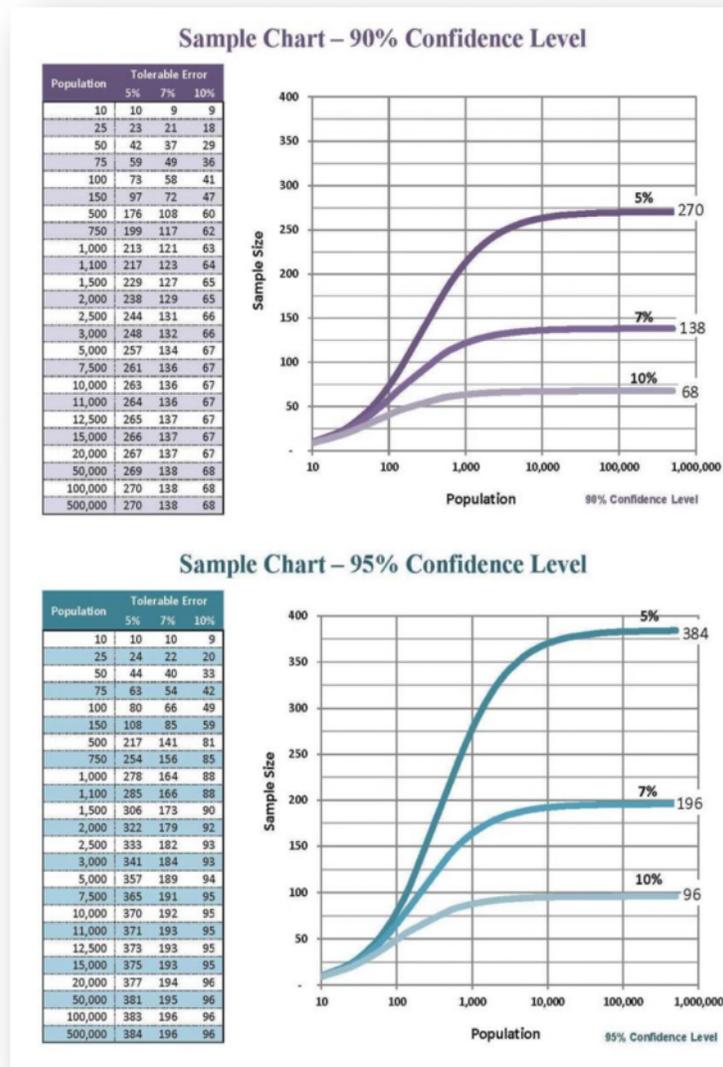


Figure 2 — Confidence Level Chart

To ensure that a case was included in the review for a single category only, before the samples were selected, the population of cases was compared for each category and duplicates were removed. The comparisons were completed incrementally, with the largest population of cases selected first and the second-largest population selected next. The second population was compared to the first, and the duplicate cases were removed. This process repeated for each subsequent category, with the priority order based on the historical size of each category's population. This process resulted in a reduction of the total available population for the subsequent categories; therefore, the population sizes for most categories do not reflect the actual number of cases.

B. State Self-Assessment Coordination

Program Compliance Criteria

Oregon continues to use the March 1998 Self-Assessment Core Work Group Report model to conduct case assessments. Flowcharts were created for the seven non-automated categories. A database was created with data input forms designed around the flowcharts. Macros eliminated manual calculations and determinations, increasing the efficiency and accuracy of the data and case outcomes.

To establish an efficiency rate, Oregon used the formula specified in the Self-Assessment Core Workgroup Report:

Efficiency [Cases with appropriate action/Total number of cases with required action]

Case Review – General Rules

The assessment is performance-based, focusing on outcomes rather than processes. Each category is reviewed for compliance with corresponding federal regulations established in 45 CFR 308. The following relevant definitions apply:

- An *outcome* is the result of case action within a specific category.
- An *action* is an appropriate outcome within a specific category.
- An *error* is either a failure to take a required action or taking an incorrect action within a specific category.

The assessment of a case is based on five general case-evaluation rules:

- A case is reviewed only on the criteria for which it was sampled.
- A case receives only one action or error in the category for which it is sampled.
- Compliance timeframes for initiating reciprocal and responding reciprocal interstate cases are reviewed separately.
- If an outcome is pending or not successfully completed due to the timeframe expiring after the review period, the previous required action is evaluated.

Cases are initially screened for possible exclusion. A case is excluded if:

- No action was necessary during the review period.
- The action was completed prior to, or after, the review period.
- There was insufficient time to take the last required action, and no other actions were previously required.
- The case qualified for closure pursuant to 45 CFR 303.11, and it was not in the sample for compliance with case closure criteria.
- Other reasons relevant to unique criteria.

Concur Case Review Process

Oregon implemented the Concur Case Review Process during the 2004 Self-Assessment as an enhancement to the case review process. This process is used every year, benefiting the Program in a number of ways:

- 1) The Program efficiency rating increases when the field provides sufficient documentation validating a case action that was previously considered noncompliant.
- 2) Program confidence in the reported outcomes improves because of field participation in the determination of the outcomes.
- 3) Program awareness of the review categories and related criteria is increased.
- 4) The understanding of federal requirements is increased in both the Division of Child Support and District Attorney offices.

Prior to field office review, a Program performance analyst reviews the cases and determines whether the outcome qualifies as an “action” (appropriate action taken), an “error” (failed to take required action), or will be “excluded” (does not meet the criteria to be reviewed). A second analyst reviews the error cases to reach consensus on the determination. Following analyst review, the error cases are referred to their respective field office representatives to review using applicable federal regulations. The representatives either concur or do not concur with the analysts’ determination, and provide additional information to support their determination.

The analysts consider any additional information provided by the field office and make a final determination regarding compliance. This determination takes into account the applicable federal regulations associated with each of the review categories. The outcome of the determination is shared with the respective field representatives. The outcomes are then finalized, and the report is published and submitted to OCSE.

In response to the Concur Case Review Process this year, there were 20 non-concurs received. Based on information provided by workers in the field, analysts were able to determine that defects in Origin, the new child support automated system, then in pilot, contributed to cases receiving an error despite having actions completed. Identified defects were corrected prior to the concur process, which allowed the analysts to re-evaluate cases.

C. Universe Definition and Sampling Procedures

To obtain focused samples, the seven non-automated categories were broadly defined to avoid the systematic exclusion of a population subset. Separate populations of cases were identified for each category based on the specified definitions. The population samples included cases that were excluded

due to definition ambiguity or because of coding errors within the legacy Child Support Enforcement Automated System (CSEAS). For this reason, an exclusion rate was anticipated within each sample. Sample sizes were based on the number of cases required to achieve 95% confidence level, ensuring that the final review resulted in the minimum sample size required for a 90% confidence level.

Although all samples were extracted from CSEAS, cases that moved to Origin in September as part of the pilot were evaluated in both CSEAS and Origin to determine the last required action.

D. Summary of Methodology

Table 3 – 2018 Self-Assessment Sample Details provides descriptions of the unique sample data extracted for each criterion. The population size varies each year and determines the minimum number of cases needed to achieve the 90% confidence level. For each criterion, the Program exceeded the minimum number of cases required.

Table 3 – 2018 Self-Assessment Sample Details

| Criterion | Sample Data Description | Case Population | # Cases to Achieve 90% Confidence Interval | Sample Size | System Reviewed | Total Cases Reviewed |
|------------------------------------|---|------------------------|---|--------------------|------------------------|-----------------------------|
| Case Closure | Any case closed during the review period. | 32,406 | 270 | 322 | 0 | 307 |
| Establishment | Any case in which a new administrative paternity-only order or support order was needed, in process, or finalized during the review period. | 9,529 | 265 | 450 | 120 | 331 |
| Enforcement | Any case with an ongoing income withholding in place. Also includes cases where a new or repeated enforcement action was required during the review period. | 72,564 | 272 | 304 | 178 | 275 |
| Disbursement | All payments received during the review period. | 1,983,943 | 273 | 1,983,943 | 1,983,943 | 1,983,943 |
| Medical | Any case with a support order established or modified during the review period. | 3,729 | 254 | 371 | 0 | 286 |
| Review & Adjustment (Modification) | Any case with an order that can be modified. Also includes cases with a modification action initiated no more than 6 months prior to the review period, or the modification was finalized or denied during the review period. | 79,809 | 272 | 350 | 0 | 272 |

| Criterion | Sample Data Description | Case Population | # Cases to Achieve 90% Confidence Interval | Sample Size | System Reviewed | Total Cases Reviewed |
|-------------------|---|-----------------|--|-------------|-----------------|----------------------|
| Intergovernmental | Any case coded with a responding or initiating state Federal Information Processing Standards (FIPS) code other than Oregon during the review period. Also includes any case with a possible need for an initiating reciprocal. | 29,593 | 270 | 450 | 0 | 331 |
| Expedited Process | Any case that has an administrative support order established during the review period. | 2,983 | 250 | 326 | 0 | 293 |

III. Self-Assessment Results

A. Introduction to Self-Assessment Results

Federal regulations require each state to meet a minimum compliance benchmark of 75% for each required program category with the exception of Expedited Processes (12-month) and Case Closure. These two program categories must meet a minimum compliance benchmark of 90%.

Oregon surpassed the required federal compliance benchmarks in all program areas for the review period October 1, 2017, through September 30, 2018.

B. Self-Assessment Results

Table 4 – Self-Assessment Results

| Criterion | Cases Where Required Activity Occurred or Should Have Occurred | Cases Where Required Activity Occurred within Timeframe | Efficiency Rate (Confidence Level of Sample) | Federal Minimum Standard | Previous Year's Efficiency Rates |
|----------------------------|--|---|--|--------------------------|----------------------------------|
| Case Closure | 307 | 303 | 98.70% | 90% | 94.62% |
| Establishment | 331 | 292 | 88.22% | 75% | 87.00% |
| Enforcement | 275 | 273 | 99.27% | 75% | 93.86% |
| Disbursement | 1,983,943 | 1,937,223 | 97.65% | 75% | 97.87% |
| Medical | 286 | 271 | 94.76% | 75% | 96.20% |
| Review & Adjustment | 271 | 257 | 94.83% | 75% | 96.19% |
| Intergovernmental | 331 | 300 | 90.63% | 75% | 86.62% |
| Expedited Process 6-month | 293 | 279 | 95.22% | 75% | 97.04% |
| Expedited Process 12-month | 293 | 290 | 98.98% | 90% | 100.00% |
| TOTAL: | 1,986,330 | | | | |

C. Discussion of Self-Assessment Results

The following section provides a detailed breakdown by review category of the population, sample size, cases reviewed, and errors found during the 2018 Self-Assessment.

It is important to consider that the error breakdown shows the percentage of errors found in the sampling reviewed. When the percentage of errors is compared to the total population of cases, the resulting figure represents the number of errors that would reasonably be found if the entire Program caseload had been reviewed. For example, if the Establishment category had an 87% efficiency rate, using the error rate of 13% and multiplying it by the total population of establishment cases within the review period (10,332), there is a reasonable potential for 1,343 total establishment errors within the Program caseload. However, since duplicate cases are removed from the populations prior to the sample extraction, not all populations are representative of an accurate error rate. Category error types are detailed in Table 5 – 2018 Self-Assessment Errors by Category.

Table 5 — Self-Assessment Errors by Category

| Total Number of Cases Requiring Action within the Review Period | | 2,565 |
|--|--|-----------------|
| Case Closure – 98.70% | | |
| Error Description | CFR Reference | Errors |
| Did not attempt contact with at least two different methods | 45 CFR 303.11(b)(15) | 2 |
| Total Case Closure Errors | | 2 |
| Disbursement – 97.65% | | |
| Error Description | CFR Reference | Errors |
| Did not disburse payment to the other state within the required timeframe | 45 CFR 308.2(b)(1) | 46,720 |
| <i>** Note: All disbursements were reviewed</i> | | |
| Total Disbursement Errors | | 46,720** |
| Enforcement – 99.27% | | |
| Error Description | CFR Reference | Errors |
| Did not complete other enforcement activities timely | 45 CFR 303.6(c)(2) | 2 |
| Total Enforcement Errors | | 2 |
| Establishment – 88.22% | | |
| Error Description | CFR Reference | Errors |
| Did not complete service timely | 45 CFR 303.4(d) | 21 |
| Did not complete locate activities timely | 45 CFR 303.3(b)(3) | 3 |
| Did not complete case opening procedures timely | 45 CFR 303.2(b)(1) | 15 |
| Total Establishment Errors | | 39 |
| Expedited Process – 6-month 95.22%, 12-month 98.98% | | |
| Error Description | CFR Reference | Errors |
| 6-month federal timeframe to establish paternity and to establish, modify, and enforce support orders | 45 CFR 303.101 (b)(2)(i) | 14 |
| 12-month federal timeframe to establish paternity and to establish, modify, and enforce support orders | 45 CFR 303.101(b)(2)(i) and 308.2(h)(ii) | 3 |
| Total Expedited Process Errors | | 17 |
| Intergovernmental – 90.63% | | |
| Error Description – Initiating Intergovernmental | CFR Reference | Errors |
| Did not refer case to responding state’s central registry timely | 45 CFR 303.7(c)(4) | 2 |

| | | |
|--|---|---------------|
| Did not notify responding state of new information timely | 45 CFR 303.7(a)(7) | 14 |
| Total Initiating Governmental Errors | | 16 |
| Error Description – Responding Intergovernmental | CFR Reference | Errors |
| Did not notify initiating state of new information received | 45 CFR 303.7(a)(7) | 12 |
| Did not disburse payment within required timeframe | 45 CFR 308.2(g)(2)(iv) | 1 |
| Did not close case or withdraw AOW within required timeframe | 45 CFR 308.2(g)(2)(vii) 45 CFR 303.7(d)(9) | 2 |
| Total Responding Governmental Errors | | 15 |
| Total Intergovernmental Errors | | 31 |
| Medical – 94.76% | | |
| Error Description | CFR Reference | Errors |
| Steps not taken to determine if reasonable and accessible private health care available | 45 CFR 303.31(b)(1) | 6 |
| National Medical Support Notice (NMSN) not sent to new employer | 45 CFR 303.32(c)(1) | 7 |
| National Medical Support Notice (NMSN) not sent after entry of new order or modification | 45 CFR 303.32(a) 45 CFR 303.32(c)(1) | 1 |
| Medical support or cash medical support not included in new order or modification | 45 CFR 308.2(e)(1) 45 CFR 303.31(b)(1-2) | 1 |
| Total Medical Errors | | 15 |
| Review and Adjustments (Modification) – 94.83% | | |
| Error Description | CFR Reference | Errors |
| Parties not notified of their right for modification every three years | 45 CFR 303.8(b)(6) | 13 |
| Modification not completed within required timeframe | 45 CFR 303.8(e) | 1 |
| Total Modification Errors | | 14 |
| Total Number of Errors for all Categories | | 120 |
| Overall Percentage of Cases with Errors | | 5.7% |

Actions were required on 2,094 cases within the review period, and the analysts manually reviewed 1,796 of the cases. There were 120 errors across the categories, and based on the ratio of errors to cases requiring actions, Oregon experienced a 1.3 percentage point decrease in overall errors when compared to last year (2017=7%; 2018=5.7%). This makes FFY 2018 the second year in a row to experience an error rate decrease. The Program’s case cleanup efforts that began in late FFY 2016 and continued throughout FFY 2017 and FFY 2018 contributed to the decrease in errors. The Data Cleanup Project is an effort to increase the quality and transferability of data during conversion from CSEAS to Origin.

D. Summary of Self-Assessment Results

Oregon surpassed the required federal compliance benchmarks in all eight required program areas. Four categories showed an increase in efficiency from the prior review period, and five categories showed decreases. Prior years of Program efficiency rates by FSA category are displayed below in Table 6 - Self-Assessment Results over Five Years.

Table 6 – Self-Assessment Results over Five Years

| Criterion | 2014 | 2015 | 2016 | 2017 | 2018 | Change from Previous Year |
|------------------------------------|--------|--------|--------|--------|---------------|---------------------------|
| Case Closure | 100% | 97.24% | 94.74% | 94.62% | 98.70% | 4.08% |
| Establishment | 77.87% | 88.77% | 85.31% | 87.00% | 88.22% | 1.22% |
| Enforcement | 94.23% | 91.94% | 92.41% | 93.86% | 99.27% | 5.41% |
| Disbursement | 91.52% | 95.43% | 92.72% | 97.87% | 97.65% | -0.22% |
| Medical | 95.52% | 96.23% | 94.30% | 96.20% | 94.76% | -1.44% |
| Review & Adjustment (Modification) | 94.44% | 95.54% | 96.35% | 96.19% | 94.83% | -1.36% |
| Intergovernmental | 89.79% | 76.97% | 86.62% | 86.62% | 90.63% | 4.01% |
| Expedited Process 6-month | 93.55% | 93.23% | 92.79% | 97.04% | 95.22% | -1.82% |
| Expedited Process 12-month | 97.54% | 97.94% | 98.43% | 100% | 98.98% | -1.02% |

The results of this year's Self-Assessment show the largest increase in efficiency was in Enforcement with a 5.42 percentage point improvement. Figure 3 – Enforcement Efficiency Rate: 2013-2018 demonstrates that the Program continues to perform well above the 75% benchmark in that category.

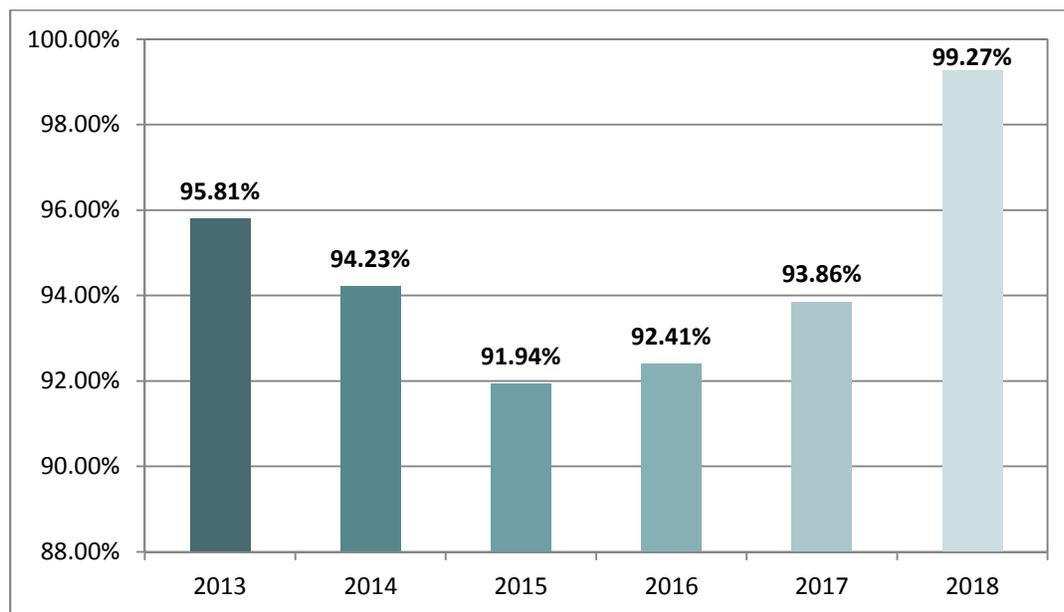


Figure 3 — Enforcement Efficiency Rate: 2013-2018

The Data Cleanup Project in preparation for the transition from CSEAS to Origin contributed to the efficiency increase in Enforcement. The removal of incorrect coding, and closure of improperly referred cases, allowed employees to identify cases that needed enforcement actions with increased efficiency.

The additional matching capabilities of the Origin system will increase Oregon's ability to obtain information necessary to enforce orders.

The Data Cleanup Project also contributed to increased efficiencies in both Establishment and Intergovernmental. Much like Enforcement, Establishment benefited from the removal of inappropriate referrals, which narrowed the review field and allowed employees to focus on completing actions and spend less time reviewing cases that ended up not qualifying for actions. For Intergovernmental, the Data Cleanup Project brought the closure of nearly 400 cases for which Oregon had no jurisdiction. Again, these efforts allowed employees to more easily identify and work cases needing actions.

Oregon also achieved increased efficiency in Case Closure. Oregon adopted and enacted into law all of the new mandatory and optional closure rules from the *Final Rule: Flexibility, Efficiency, and Modernization in Child Support Enforcement Programs* (published on December 20, 2016, in the Federal Register, on page 93492, Volume 81, Number 244) beginning in October of 2017. The increased flexibility for closure due to this change contributed to the increase in efficiency.

Oregon decreased in efficiency for five categories: Disbursement, Medical, Review and Adjustment, Expedited Process 6-month, and Expedited Process 12-month. However, performance in these categories remains well above the compliance thresholds. Oregon expected some decrease in efficiency during the development and conversion to Origin, particularly in categories requiring legal actions. Many staff was involved in training and other preparations for pilot, which took time away from their caseloads. Oregon suspended legal activities on some cases converting to Origin for 90 days prior to the pilot. This suspension was necessary to ensure the legal activities could be accurately processed and finalized in Origin. Overall, the decreases are minimal.

IV. Conclusion

Oregon surpassed the required federal compliance benchmarks in all of the program areas, including the 6-month benchmark for Expedited Process. The Program remains committed to maintaining a high level of efficiency throughout the transition from CSEAS to Origin. Although the demands of the transition contributed to a slight drop in some areas of performance, the Program ensured that unaffected cases were worked appropriately and timely. That Oregon was able to maintain efficiency rates well above the minimum standard despite the additional challenges is testament to the hard work and dedication of the Program's employees.

V. The Paperwork Reduction Act of 1995

Public reporting burden for this collection of information is estimated to average four hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

VI. Attachments

A. Appendix 1 - Tables and Figures

- File size: 206 KB
- Uploaded on: March 29, 2019